JC37 JUN 07 2004 PATENT & TRADEMARK OFFICE

Atty. Docket No.: 8822/2022 **PATENT**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of:	Bachmann, et al.	Examiner:	Not yet assigned
Serial No.:	10/762,107		
Filed:	January 21, 2004	Group Art Unit:	1624
Entitled:	Farnesyl Dibenzodiazepinone, Processes for Its Production and its Use as a Pharmaceutical		
		Conf. No.:	4987

JC37 JUN 07 2004 PATENT & TRADEMARK OFFICE

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8a

I hereby certify that this correspondence (and any paper or fee referred to as being enclosed) is being deposited with the United States Post Office as First Class Mail on the date indicated below in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Mary Wilson
Name of Person Mailing Paper

Signature of Person Mailing Paper

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER

Enclosed for filing the above-identified patent application, please find the following documents:

1. Request for Corrected Filing Receipt;
2. Copy of the Original Filing Receipt with the Change Marked in Red;
3. Copy of the New Utility Patent Application Transmittal as filed on January 21, 2004;
4. Copy of the Express Mail Receipt (Label No.: EL932932039US) Date Stamped January 21, 2004; and
5. Return Post Card.

The Commissioner for Patents is hereby authorized to charge any fees to Deposit Account No. 16-0085, Reference 8822/2022. A duplicate of this transmittal letter is enclosed for this purpose.

Respectfully submitted,

Date: 6/2/04

Name: Kathleen Williams
Registration No.: 34,380
Customer No.: 29933
Palmer & Dodge LLP
111 Huntington Avenue
Boston, MA 02199-7613
Tel: 617-239-0100

JUN 07 2004

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Mary Wilson
Name of Person Mailing Paper

Signature of Person Mailing Paper

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

Applicant requests issuance of a corrected Official Filing Receipt for the above-identified patent application. The filing date on the filing receipt was in correctly listed as 1/20/04. **It should be January 21, 2004** as indicated on the New Patent Application transmittal filed with the Application on January 21, 2004 (copy enclosed). The date stamped Express Mail Label (EL932932039US) filed with this application on January 21, 2004 is also enclosed for verification. Please correct the Filing Receipt in your proper manner.

A copy of the official Filing Receipt is enclosed with the correction highlighted in red. It is believed that no further fees are due for this application.

Respectfully submitted,

Date: 6/21/04

Name: Kathleen Williams
Registration No.: 34,380
Customer No.: 29933
Palmer & Dodge LLP
111 Huntington Avenue
Boston, MA 02199-7613
Tel: 617-239-0100

IFW

OIPE JC37 JUN 07 2004 PATENT & TRADEMARK OFFICE

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY.DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/762,107	~~01/20/2004~~ 1/21/04	1624	428	8822/2022	21	11	4

CONFIRMATION NO. 4987

29933
PALMER & DODGE, LLP
KATHLEEN M. WILLIAMS
111 HUNTINGTON AVENUE
BOSTON, MA 02199

COPY

FILING RECEIPT

OC000000012671527

Date Mailed: 05/14/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

Applicant(s)

Brian O. Bachmann, Nashville, TN;
James B. McAlpine, Montreal, CANADA;
Emmanuel Zazopoulos, Montreal, CANADA;
Chris M. Farnet, Qutremont, CANADA;
Mahmood Piraee, Montreal, CANADA;

Assignment For Published Patent Application

Ecopia Biosciences, Inc.;

Domestic Priority data as claimed by applicant

This appln claims benefit of 60/441,126 01/21/2003
and claims benefit of 60/492,997 08/07/2003
and claims benefit of 60/518,286 11/10/2003

Foreign Applications

If Required, Foreign Filing License Granted: 05/13/2004

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

Farnesyl dibenzodiazepinone, processes for its production and its use as a pharmaceutical

Preliminary Class

514

LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

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NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

NEW UNITED STATES UTILITY PATENT APPLICATION TRANSMITTAL

JUN 07 2004
PATENT & TRADEMARK OFFICE

Atty. Docket No.: 8822/2022

CERTIFICATE OF MAILING UNDER 37 CFR 1.10

I hereby certify that the paper (and any paper or fee referred to as being enclosed) is being deposited with the United States Postal Service using Express Mail to Addressee Service, under 37 C.F.R. Section 1.10, **Express Mail Label No. EL932932039US** on this date, **January 21, 2004**, postage prepaid, in an envelope addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Mary Wilson
Name of Person Mailing Paper

Signature of Person Mailing Paper

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

COPY

Enclosed herewith is a new patent application of:

First Named Inventor (or application identifier): Bachmann, et al.

Title of Invention: Farnesyl Dibenzodiazepinone, Processes for Its Production and its Use as a Pharmaceutical

Type:
- ☒ New
- ☐ Continuation of: _____
- ☐ Continuation-in-Part of: _____
- ☐ Divisional of: _____

which is hereby incorporated by reference in is entirety into the application filed herewith;

and includes the following papers:

1. ☒ Specification 142 pages (including specification, claims, abstract)/118 claims (16 independent)
2. ☒ Declaration/Power of Attorney is:
 - ☐ Executed ☐ Unexecuted ☐ Executed copy from Parent Application
 - ☒ NOT included, but deferred under 37 C.F.R. § 1.53(f).
3. ☒ 147 Distinct sheets of ☐ Formal ☒ Informal Drawings
4. ☒ Application Data Sheet
5. ☒ Preliminary Amendment.
6. ☐ Information Disclosure Statement
 - ☐ Form 1449 ☐ A copy of each cited prior art reference (as necessary)
7. ☐ Assignment with Recordation Cover Sheet.
8. ☒ Priority is hereby claimed under 35 U.S.C. § 119 based upon the following application(s):

Country	Application Number	Date of Filing (day, month, year)
US	60/441,126	21 January 2003
US	60/492,997	7 August 2003
US	60/518,286	10 November 2003

9. ☐ Priority is hereby claimed under 35 U.S.C. § 120 based upon the following application(s):

Application Number	Date of Filing (day, month, year)

10. ☐ Priority is hereby claimed under 35 U.S.C. § 121 based upon the following application(s):

Application Number	Date of Filing (day, month, year)

The above applications from which priority is claimed are hereby incorporated in their entirety into the application filed herewith.

11. ☐ Priority document(s).

12. ☐ Microfiche Computer Program (Appendix).

13. ☒ Nucleotide and/or Amino Acid Sequence Submission.
- ☒ Computer Readable Copy.
- ☒ Paper Copy (identical to computer copy).
- ☒ Statement verifying identity of above copies.

14. ☐ Request for Non-Publication and Certification under 35 USC 122 (b)(2)(B)(i)

15. ☒ Statement of Small Entity Status, Pursuant to 37 C.F.R. §1.27.

16. Calculation of Fees:

FEES FOR	TOTAL CLAIMS	EXCESS CLAIMS	FEE	AMOUNT DUE
Basic Filing Fee (37 C.F.R. § 1.16(a))				$770.00
Total Claims in **Excess of 20** (37 C.F.R. § 1.16(c))	118	98	$18.00	$1,764.00
Independent Claims in **Excess of 3** (37 C.F.R. § 1.16(b))	16	13	$86.00	$1,118.00
Multiple Dependent Claims (37 C.F.R. § 1.16(d))	Yes		$290.00	$290.00
Subtotal - Filing Fee Due				$3,942.00
Reduction by 50%, if Small Entity (37 C.F.R. §§ 1.9, 1.27, 1.28)	MULTIPLY BY 0.50			$1,971.00
TOTAL FILING FEE DUE				$1,971.00
Assignment Recordation Fee (if applicable) (37 C.F.R. § 1.21(h))	0		$40.00	0
GRAND TOTAL DUE				**$1,971.00**

17. PAYMENT is:
- ☒ The Commissioner is hereby authorized to charge any fees to Deposit Account 16-0085, Ref. 8822/2022.
- ☐ not included, but deferred under 37 C.F.R. § 1.53(f).

18. All correspondence for the attached application should be directed to:

Kathleen Williams
Customer Number 29933
111 Huntington Avenue
Boston, MA 02199-7613

19. Other: _____

Respectfully submitted,

Date: January 21, 2004

By: Barbara A. Gyure
Name: Barbara Gyure
Registration No.: 34,614

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FROM: (PLEASE PRINT) PHONE ()

PALMER & DODGE LLP
111 HUNTINGTON AVENUE
BOSTON MA 02199

Kathleen Williams 1215 8822/2022
(mjf)(mbw)

TO: (PLEASE PRINT) PHONE ()

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